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| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br>( Not for submission under 37 CFR 1.99) | Application Number   |                   | 09801588   |  |
|   | Filing Date          |                   | 2001-03-08 |  |
|   | First Named Inventor | Keith             |            |  |
|   | Art Unit             | 3692              |            |  |
|   | Examiner Name        | Clement B. Graham |            |  |
| Attorney Docket Number  |                      | 125464            |            |  |

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|   |  |                          |
|---|--|--------------------------|
| 1 | HANDA, P., et al., "A Tale of Two Trading Venues: Electronically Delivered Orders vs. Floor Brokered Orders on the American Stock Exchange," Proceedings of the 32nd Hawaii International Conference on Systems Sciences [HICSS-32], January 1999, 7 pages.    | <input type="checkbox"/> |
| 2 | OLSEN, R.A., "Behavioral Finance and Its Implications for Stock-Price Volatility," Financial Analysts Journal 54(2), March/April 1998, <http://proquest.umi.com/pqdweb?index=3&did=28950600&SrchMode=1&sid=2&Fmt=4&V...> [retrieved March 28, 2008], 14 pages. | <input type="checkbox"/> |

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